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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/965,071
	Filing Date	09/27/2001
	First Named Inventor	Terrance Sick
	Group Art Unit	2171
	Examiner Name	
Total Number of Pages in This Submission	4+	Attorney Docket Number 2000-05

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Firm or Individual name	Duane C. Basch; Greenwald & Basch LLP
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PTO/SB92 (08-00)

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Practitioner's Docket No. :

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Application No.: 09/965,071

Confirmation No: 2718

Filed: 09/27/2001

For: "Computer-Based System and Method for Searching and Screening Financial Securities and Relevant Intellectual Property"



Group No.: 2171

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1) The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. section 1.97(b).

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2) The Information Disclosure Statement submitted herewith contains information that was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. 37 C.F.R. section 1.97 (e) (1).

Date:

3/8/02

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Substitute for form 1449A/PTO			Complete If Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Applicant Number	09/965.071	
			Filing Date	09/27/2001	
			First Named Inventor	Terrance Sick	
			Art Unit	2171	
			Examiner Name		
Sheet	1	of	1	Attorney Docket Number	2000-05

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
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FOREIGN PATENT DOCUMENTS						
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		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
	1	WO 00/33212	06-08-2000	XU et al.		

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¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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